

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
PROJECT DEVELOPMENT AND ENVIRONMENTAL ANALYSIS UNIT**

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

The Department of Transportation and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*reference value ends.*" The Department of Transportation hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Natural and Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the Department of Transportation will be responsible for cost of microfilm production.

The Department of Transportation and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The Department of Transportation agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records and to make electronic records accessible for the period of time prescribed in this schedule. Where the method of recording information changes (for example, to an electronic system), the retention periods governing the records listed herein still apply, provided the records document the same agency function.

E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in this schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.

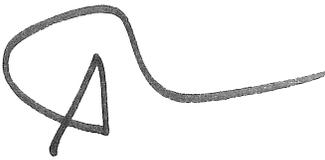
The Department of Transportation agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Carr McLamb
Chief Records Officer


Rodger Rochelle, Administrator
Division of Technical Services


Sarah E. Koonts, Director
Division of Archives and Records


Nicholas Tennyson, Secretary
Department of Transportation

APPROVED


Susan W. Klutz, Secretary
Department of Natural and Cultural
Resources

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
PROJECT DEVELOPMENT AND ENVIRONMENTAL ANALYSIS UNIT
ADMINISTRATION - CENTRAL FILES**

ITEM 50722. ACTIVE PROJECTS FILE

Records concerning active transportation projects for Project Development and Environmental Analysis (PDEA). File includes technical reports, project reports, correspondence, field notes, tables, graphs, meeting handouts, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after the project is let to construction. Records will be held in the State Records Center for an additional 5 years and then destroyed.

ITEM 50723. ADMINISTRATION FILE

Records in paper and electronic formats, including e-mail, concerning project development and related environmental programs and activities. File includes reports and feasibility studies. File also includes correspondence with department staff, contractors, organizations, state agencies, municipalities, and the general public.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 46151. BRIDGE REPLACEMENT (B) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects for construction and rehabilitation of bridges on roads and highways within North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

ITEM 50724. DEFERRED OR DELETED PROJECTS FILE

Records in paper and electronic formats, including e-mail, concerning transportation projects that have either been deferred or deleted by the NC Department of Transportation. File includes technical reports, project reports, maps, correspondence, field notes, tables, graphs, photographs, meeting handouts, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office until project is deferred by or deleted from the State Transportation Improvement Program. Destroy in office when reference value ends.

ITEM 46152. ENHANCEMENT (E) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed enhancement projects on or around roads and highways within North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

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ITEM 46154. FERRY (F) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects for highway and road improvements on roads leading to and from ferry terminals within North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

ITEM 46155. HIGHWAY HAZARD AND SAFETY (W) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects for highway hazard and safety projects on roads and highways within North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

ITEM 46156. INTERSTATE (I) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects concerning construction of and widening of interstate highways within and through North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

ITEM 46157. LANDSCAPE (K AND L) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects concerning landscape improvements on or around roads and highways within North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

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ADMINISTRATION - CENTRAL FILES**

ITEM 46158. PASSENGER RAIL (P) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects concerning passenger rail improvement projects crossing or parallel roads and highways within North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

ITEM 46159. RAILROAD/HIGHWAY CROSSING (Y AND Z) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects concerning safety improvements of railroad/highway crossing on roads and highways within North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

ITEM 46160. RURAL AND SPECIAL (R, A, AND X) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects concerning construction of and widening of rural highways along with other special construction projects within the designated rural regions of North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

ITEM 50725. SPECIAL PROJECTS FILE

Records concerning special assignments or projects that do not pertain to the implementation of specific transportation infrastructure. File includes process corridor study records, special project records, improvement initiative records, technology project records, merger management process records, white papers, certified public management project papers, and other related records. File also includes superseded and obsolete policies and procedures.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 3114. TRANSPORTATION IMPROVEMENT PROJECTS FILE

Records concerning projects in the transportation improvement program. File includes correspondence, requests, resolutions from counties, project proposals, and transcripts of public hearings.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when project is let to construction. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

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ITEM 46161. UNFUNDED PROJECTS (UP) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects concerning unfunded projects on roads and highways within North Carolina. File includes technical reports, project reports, environmental impact studies, photographs, maps, correspondence, field notes, meeting handouts, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 46162. URBAN (U) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed projects concerning construction of and widening of urban highways within the urban regions of North Carolina. File includes environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images.

DISPOSITION INSTRUCTIONS: Transfer record copy of electronic records to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives. Retain access copy in office permanently. Transfer paper records held at the State Records Center as of 6/6/16 immediately to the custody of the Archives.

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The following 3 items will be discontinued.**

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ADMINISTRATION - CENTRAL FILES**

ITEM 3139. COUNTY SECONDARY ROADS PROJECTS FILE

Correspondence, plans, minutes, estimates, studies, reports, transcripts, resolutions, petitions, and other records concerning county secondary road projects. File includes reference copies of Management Review Board minutes; correspondence with the Highway Design Branch, county commissioners, and division engineers; county commission resolutions and petitions from the general public; environmental impact studies and reports; thoroughfare plans; preliminary right-of-way cost estimates; project investigation orders; official transcripts of public hearings; final field inspections; and notices of public hearings. (File is used to monitor projects from the planning stages until acceptance of the system.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Rural and Special (R, A, and X) Program File (Item 46160).

ITEM 46153. FEASIBILITY STUDIES (FS) PROGRAM FILE

Transportation Improvement Program (TIP) records for Program Development and Environmental Analysis (PDEA) completed feasibility studies for projects on roads and highways within North Carolina. Files may include some or all of the following: environmental studies, photographs, maps, correspondence, permits, historical surveys, archaeology studies, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Administration File (Item 50723). Destroy records currently held at the State Records Center as of 6/6/16 immediately.

ITEM 3138. PROJECTS (N.C. AND U.S. ROUTES) FILE

Correspondence, plans, minutes, estimates, studies, reports, transcripts, resolutions, petitions, and other records concerning N.C. and U.S. route thoroughfares. File includes correspondence with the Highway Design Branch, county commissioners, and division engineers; county commission resolutions and petitions from the general public; environmental impact studies and reports; thoroughfare plans; preliminary right-of-way cost estimates; project investigation orders; official transcripts of public hearings; final field inspections; and notices of public hearings. (File is used to monitor projects from the planning stages until acceptance of the system.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Rural and Special (R, A, and X) Program File (Item 46160) and Urban (U) Program File (Item 46162).

**DEPARTMENT OF TRANSPORTATION
DIVISION OF TECHNICAL SERVICES
PROJECT DEVELOPMENT AND ENVIRONMENTAL ANALYSIS UNIT
HUMAN ENVIRONMENT SECTION**

ITEM 50726. ARCHAEOLOGY GROUP AND HISTORIC ARCHITECTURE GROUP FILE

Records in paper and electronic formats, including e-mail, concerning archaeological investigations and standing structure investigations completed for transportation projects. File includes archaeological reports, historic architecture reports, completed North Carolina archaeological site forms, maps, correspondence, field notes, tables, graphs, photographs, meeting handouts, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after completion of investigation.

ITEM 50727. ARCHAEOLOGY GROUP ARTIFACTS FILE

Records concerning artifacts discovered during the development of transportation projects. File includes field collection samples, original field notes, inventory sheets, and other related records.

DISPOSITION INSTRUCTIONS: Transfer after 1 year to the Office of State Archaeology Research Center.

ITEM 50728. PUBLIC INVOLVEMENT, GROUP & COMMUNITY STUDIES, AND TRAFFIC NOISE & AIR QUALITY GROUP FILE

Records in paper and electronic formats, including e-mail, produced by the Public Involvement and Community Studies Section and the Air and Noise Section concerning the development and environmental analysis of transportation projects. File includes traffic noise reports, air quality assessment reports, community impact assessments, indirect and cumulative effects reports, newsletters and other project mailings, public meeting handouts, press releases, meeting sign-in sheets, meeting display materials, meeting minutes, maps, correspondence, field notes, tables, graphs, photographs, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after the project is constructed and accepted. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**DEPARTMENT OF TRANSPORTATION
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NATURAL ENVIRONMENT SECTION**

ITEM 50729. ACTIVE MITIGATION PROJECTS FILE

Records in paper and electronic formats, including e-mail, concerning on-site or off-site mitigation sites that require post-construction monitoring. File includes permits, biological assessment and opinions, site plans, monitoring plans, mitigation bank instruments, maps, correspondence, field notes, tables, graphs, photographs, meeting handouts, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after completion of monitoring. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 50730. ACTIVE PROJECTS FILE

Records in paper and electronic formats, including e-mail, concerning active transportation projects that do not require post-construction monitoring. File includes reports, permits, impact assessments, mitigation site and monitoring plans, maps, correspondence, field notes, tables, graphs, photographs, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after the project is constructed and accepted. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**DEPARTMENT OF TRANSPORTATION
DIVISION OF HIGHWAYS
DEPUTY HIGHWAY ADMINISTRATOR-PRECONSTRUCTION**

The following items will be discontinued.

ITEM 13015. BOARDS FILE

Correspondence of the Right-of-Way Review Board and Management Review Group.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 13054. CHIEF ENGINEER-PRECONSTRUCTION FILE

Records concerning projects and programs involving the Chief Engineer-Preconstruction. File includes correspondence, reports, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 13018. CONSTRUCTION AND LETTINGS FILE

Construction and letting schedules.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Division of Highways, Field Support, Construction Unit, Construction Program File (Item 16701).

ITEM 3113. CORPS OF ENGINEERS FILE

Correspondence between Department of Transportation and the Corps of Engineers concerning all projects in which the Corps are involved.

DISPOSITION INSTRUCTIONS: Item discontinued. Records no longer being created.

ITEM 13013. GOVERNMENT (FEDERAL/STATE) FILE

Correspondence between federal and state government officials on current highway activities, policies, and procedures.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 13014. LEGISLATIVE FILE

Correspondence with legislators concerning highway-related legislation and state and federal legislation introduced or passed.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by General Schedule for State Agency Records, Legislative File.